



GAM - COMPLIANCE OFFICER

CHARACTERISTICS OF WORK:

This is entry-level professional work as a compliance officer for the Mississippi Gaming Commission. Duties include monitoring casinos, corporate applicants, and charitable gaming establishments' compliance with standards mandated by the Gaming Control Act of 1991. Incumbents review all forms, applications, and documentation submitted for accuracy and conformity within agency guidelines, composing correspondence and reports for supervisory review. The incumbent works under the close supervision of an auditor, supervisor, or other designee; and work is reviewed for technical competence, thoroughness, and conformity with applicable policies, rules, and regulations.

MINIMUM QUALIFICATIONS:

These minimum qualifications have been agreed upon by Subject Matter Experts (SMEs) in this job class and are based upon a job analysis and the essential functions. However, if a candidate believes he/she is qualified for the job although he/she does not have the minimum qualifications set forth below, he/she may request special consideration through substitution of related education and experience, demonstrating the ability to perform the essential functions of the position. Any request to substitute related education or experience for minimum qualifications must be addressed to the State Personnel Board in writing, identifying the related education and experience which demonstrates the candidate's ability to perform all essential functions of the position.

EXPERIENCE/EDUCATIONAL REQUIREMENTS:

Education:

A Bachelor's Degree from an accredited four-year college or university in accounting, or a directly related field, including a minimum of twenty-seven (27) semester hours in accounting.

Required Document:

Applicant must attach a valid copy of his/her transcript to verify required course work, when applicable.

PHYSICAL REQUIREMENTS:

These physical requirements are not exhaustive, and additional job related physical requirements may be added to these by individual agencies on an as needed basis. Corrective devices may be used to meet physical requirements. These are typical requirements; however, reasonable accommodations may be possible.

Light Work: May frequently walk or stand and/or frequently exert force equivalent to lifting up to approximately 10 pounds and/or occasionally exert force equivalent to lifting up to approximately 20 pounds.

Vision: Requires the ability to perceive the nature of objects by the eye.

Near Acuity: Clarity of vision at 20 inches or less.

Midrange: Clarity of vision at distances of more than 20 inches and less than 20 feet.

Far Acuity: Clarity of vision at 20 feet or more.

Peripheral: Ability to observe an area that can be seen up and down or to the left and right while eyes are fixed at a given point.

Depth Perception: Three dimensional vision, ability to judge distances and spatial relationships.

Ability to adjust focus: Ability to adjust the eye to bring an object into sharp focus.

Color: Ability to identify and distinguish colors.

Speaking/Hearing: Possesses the ability to give and receive information through speaking and listening skills.

Motor Coordination: While performing the duties of this job, the incumbent is regularly required to sit; use hands to finger, handle or feel objects, tools or controls; and reach with hands and arms. The incumbent is frequently required to stand; walk; and stoop, kneel, crouch, or bend. The incumbent is occasionally required to climb or balance.

COMPETENCIES:

The following competencies describe the knowledge, skills, abilities, and attributes that lead to a successful employee in this position. An applicant will be expected to exhibit these competencies or the ability to reach competency achievement within a specified time. These competencies are linked to the essential functions of the job. Employees in this position may be evaluated on these competencies as part of the performance appraisal system. Example behaviors are listed below each competency and are used for illustrative purposes only. Specific behaviors may be identified and included later by the hiring agency. It is understood that some of these behaviors might not be acquired until a reasonable time after hire. Failure of an employee to successfully demonstrate some or all of these competencies, as deemed important by his or her reporting official, may result in the employee being placed on a performance improvement plan. If after a reasonable period of time, usually three (3) months, the employee fails to demonstrate successful performance, the employee may be terminated. These competencies include, but are not limited to, the following:

PUBLIC SECTOR COMPETENCIES:

Integrity and Honesty: Demonstrates a sense of responsibility and commitment to the public trust through statements and actions.

Models and demonstrates high standards of integrity, trust, openness, and respect for others. Demonstrates integrity by honoring commitments and promises. Demonstrates integrity by maintaining necessary confidentiality.

Work Ethic: Is productive, diligent, conscientious, timely, and loyal.

Conscientiously abides by the rules, regulations, and procedures governing work.

Service Orientation: Demonstrates a commitment to quality public service through statements and actions.

Seeks to understand and meets and/or exceeds the needs and expectations of customers. Treats customers with respect, responding to requests in a professional manner, even in difficult circumstances. Provides accurate and timely service. Develops positive relationships with customers.

Accountability: Accepts responsibility for actions and results.

Is productive and carries fair share of the workload. Focuses on quality and expends the necessary time and effort to achieve goals. Demonstrates loyalty to the job and the agency and is a good steward of state

assets. Steadfastly persists in overcoming obstacles and pushes self for results. Maintains necessary attention to detail to achieve high-level performance. Deals effectively with pressure and recovers quickly from setbacks. Takes ownership of tasks, performance standards, and mistakes. Has knowledge of how to perform one's job. Knows the organization's mission and functions and how it fits into state government.

Self Management Skills: Effectively manages emotions and impulses and maintains a positive attitude.

Encourages and facilitates cooperation, pride, trust, and group identity; fosters commitment and team spirit; works effectively and cooperatively with others to achieve goals. Treats all people with respect, courtesy, and consideration. Communicates effectively. Remains open to new ideas and approaches. Avoids conflicts of interest. Promotes cooperation and teamwork.

Interpersonal Skills: Shows understanding, courtesy, tact, empathy, and concern to develop and maintain relationships.

Demonstrates cross cultural sensitivity and understanding. Identifies and seeks to solve problems and prevent or resolve conflict situations. Encourages others through positive reinforcement.

Communication Skills: Receives, attends to, interprets, and responds to verbal messages and expresses information to individuals or groups effectively.

Receives other cues such as body language in ways that are appropriate to listeners and situations. Takes into account the audience and nature of the information; listens to others, attends to nonverbal cues, and responds appropriately. May make oral presentations. Communicates ideas, suggestions and concerns, as well as outcomes and progress throughout the process of an activity. Provides thorough and accurate information.

Self-Development: Adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles.

Seeks efficient learning techniques to acquire and apply new knowledge and skills; uses training, feedback, or other opportunities for self-learning and development. Develops and enhances skills to adapt to changing organizational needs. Remains open to change and new information and ideas.

TECHNICAL COMPETENCIES:

Technical Proficiency: The ability and willingness to exhibit competency in the technical areas needed to do a specific job.

Recognizes sensitive information and keeps it confidential, consistent with the law. Reads, comprehends, and correctly applies all Gaming Control Act and MS Gaming Commission (MGC) Regulations, agency rules and policies applicable to audits, compliance, assignments and/or investigations within the scope of work. Performs necessary procedures including observation, examination, analytical review and reconciliations necessary to formulate and render a conclusion, a recommendation or to complete the objective of the assignment. Prepares work papers to ensure completeness, accuracy and adherence to established policies and procedures. Demonstrates proficiency in applicable technical areas based on the application of acquired technical knowledge. Demonstrates the ability to complete written communications, which address all relevant material and information in logical fashion. Performs work with a minimum amount of supervision in areas that are familiar.

Workflow Management: The ability and willingness to perform work within defined specifications and timelines and to manage conflicting priorities.

Assimilates and manages data from a variety of sources. Operates under specific time constraints and within specified deadlines. Effectively prioritizes tasks in order to meet compliance (and/or Corporate Securities) timelines. Exhibits the ability to handle multiple issues and projects concurrently.

Problem Solving/Decision Making: The ability and willingness to work with people and to identify and solve problems in order to effectively and efficiently complete assigned tasks.

Exhibits ability to identify and address issues that arise during a compliance review and/or (corporate) investigations (and other Corporate Securities assignments). Ensures that all problems encountered are addressed at the appropriate level and communicates all relevant information on a timely basis with accuracy and completeness. Exercises sound reasoning. Effectively deals with difficult issues and people. Accumulates sufficient evidential matter, using Commission and professional standards and judgment to render a conclusion/opinion to meet the objectives of the assignment, and if not, documents the reason why. Exhibits the ability to be receptive to ideas of others. Displays the ability and willingness to work with other officers or other divisions in order to collectively complete assigned tasks or problems as they arise.

Stakeholder Relations: The ability and willingness to interact and communicate effectively with stakeholders.

Proactively provides stakeholders with proper information in an effort to reduce the occurrence of future problems. Supports the agency mission and goals in all interactions with internal and external stakeholders. Acts as an advocate for agency policy. Maintains productive communications between staff and licensee personnel. Maintains independence in fact and appearance from licensees and other industry representatives as appropriate.

Planning: The ability and willingness to assess current needs, identify future needs and prepare plans for acquiring necessary resources to meet the mission, goals, and objectives of the agency as it relates to the specific job.

Contributes to the development and achievement of division goals and objectives.

ESSENTIAL FUNCTIONS:

Additional essential functions may be identified and included by the hiring agency. The essential functions include, but are not limited to, the following:

1. Oversees preparation, planning, and organization of assignments, and ensures that assignments and gaming licensees adhere to agency policies.
2. Performs bankroll verifications, cash counts, financial analyses, and evaluates written internal control systems and other work as required.

EXAMPLES OF WORK:

Examples of work performed in this classification include, but are not limited to, the following:

Performs observations and walk-throughs, document examinations, analytical review, reconciliations, and other procedures sufficient to formulate and express an opinion, render a conclusion, or otherwise meet the objective of the assignment.

Prepares work papers ensuring the papers contain sufficient, competent and relevant evidential matter to support the conclusions rendered, in accordance with agency policies.

Advises supervisors on material problems encountered in a timely manner with accuracy and completeness.

Advises supervisors regarding progress of assignments for planning purposes.

Evaluates licensee and applicant correspondence and drafts responses as necessary.

Evaluates gaming licensee's compliance with statutes and regulations.

Reviews gaming applications for completeness and thoroughness.

Assesses additional taxes where deficiencies are noted or determines need for refund if applicable.

Determines and accurately documents the nature and extent of exceptions including but not limited to violations and revenue adjustments.

Performs related or similar duties as required or assigned.

INTERVIEW REQUIREMENTS:

Any candidate who is called to an agency for an interview must notify the interviewing agency in writing of any reasonable accommodation needed prior to the date of the interview.

